

## **Issue Paper Project Inspector Job File Checklist**

### **ISSUE:**

The California State Auditor report (released December 8, 2011), regarding DSA construction oversight functions, identified the following issue: “The lack of an evaluation process for inspectors increases the risk that construction will not comply with approved plans.” Further, the report recommends the following:

*To ensure that it formally monitors inspectors’ performance, the division should reestablish a process for evaluating inspectors that provides consistent documentation of performance. The division should make this information accessible to appropriate staff.*

The DSA concurred that a process for evaluating inspector performance is important and is looking to develop the tools necessary for its field staff to monitor inspector’s performance and completion of required duties.

### **BACKGROUND**

At the February 9, 2012 Committee meeting, the DSA introduced a proposed monitoring tool in a form of a job file checklist for DSA field engineers and project inspectors that lists requirements for inspector’s documentation. This job file review process would aide DSA field engineers in evaluating inspector’s documentation process and correcting any documentation deficiencies during the project, thus, avoiding missing documentation issues at project close-out. Lastly, the job file review could provide the basis for an effective performance evaluation of project inspectors in the future.

The DSA incorporated the input received at the Committee into a revised draft, which was presented to the Committee at the March 15, 2012 meeting. The Committee discussed content and format, and provided additional input to DSA.

### **DSA PROPOSAL**

Based on the input received at the March 15, 2012 Committee meeting and subsequent comments, the DSA revised its proposed template for job file review. The revised template, as shown on the attachment, contains the following:

- The checklist is presented in a form of a template to be used for one-time review rather than multiple ones. This simplified format will accommodate DSA plans for future automation of this document. This format also allows for comments to be added for any item on each visit/job file review.
- The DSA added a commentary that includes explanatory notes for each item.
- The commentary is used to provide direction to DSA staff regarding those job file items that are deficient as a result of actions by other parties to the project, rather than the project inspector. For example, if there is addenda documents lacking DSA approval which are used for construction, the DSA will use the comments field to note the issue and bring it to the attention of the project’s design professional.



## JOB FILE REVIEW

DSA File No.: \_\_\_\_\_

Date of visit: \_\_\_\_\_

DSA App. No.: \_\_\_\_\_

Name of Assigned DSA Field Engineer: \_\_\_\_\_

Project Name: \_\_\_\_\_ Project Class: \_\_\_\_\_

Inspector Name: \_\_\_\_\_ E-mail: \_\_\_\_\_

DSA Field Engineer shall complete a job file review on each visit made to Class 1 and 2 school district or community college construction projects to review completeness of records. Field Engineer shall provide an electronic copy to the Project Inspector and architect after each site visit, and shall file an electronic copy in DSA project records.

Complete information on all items listed below as they are maintained in the Inspector Job File. Mark the status box with one of the following:

**NA = Not Applicable    C = Complete    N = Not Complete (Must be explained and initialed in last column)**

Item #	STATUS	Item Description	Reason for Any "Not Complete" Item (or other comment)	Initials
1		DSA-approved plans & specifications; systematic mark-ups of inspected work		
2		DSA-approved Testing & Inspection List (DSA-103)		
3		Deferred submittals as required by DSA approved plans		
4		Addenda, change orders		
5		Construction change documents & log		
6		Contractor submittals (construction schedule, shop drawings, certificates, product labels, concrete trip tickets, etc.)		
7		Construction project log [all communications (RFIs, ASIs) & project related meeting minutes/notes]		
8		Deviation notices, as delivered to architect & contractor; log listing all notices with resolution status		
9		Evidence of continuous inspection , such as daily inspection reports		
10		Material testing & special inspection reports		
11		Completed semimonthly reports		
12		DSA trip notes from prior visits, copied to architect		
13		Applicable codes (Title 24) & standards		



## JOB FILE REVIEW: COMMENTARY FOR REVIEW ITEMS

1. **DSA-approved plans & specifications; systematic mark-ups of inspected work:** Does the job file include a copy of the DSA approved plans and specifications? Do these documents contain systematic mark ups of inspected work?
2. **DSA-approved Testing & Inspection List (DSA-103):** Does the job file include a copy of the DSA-103 form, approved Testing and Inspection List? DSA field engineer should use the comment section to note whether the inspector is aware of any changes in the project that impact the DSA-103 as originally approved by the DSA.
3. **Deferred submittals as required by DSA approved plans:** Does the job file include copies of deferred submittals as required by the DSA approved plans? DSA field engineer shall use the comment section to note whether the deferred submittals are approved by DSA.
4. **Addenda, change orders:** Does the job file include copies of addenda and change orders? DSA field engineer shall use the comment section to note whether the addenda approved by the DSA.
5. **Construction change documents & log:** Is there a log of construction change documents? Is there information available regarding DSA approval status for each document?
6. **Contractor submittals (construction schedule, shop drawings, certificates, product labels, concrete trip tickets, etc.):** Are copies of shop drawings and other documents approved by the architect available in the file prior to work being performed? Do the files contain product labels, trip tickets, or other evidence of the brand and quality of materials which have been delivered to the project and incorporated into the work?
7. **Construction project log [all communications (RFIs, ASIs) & project related meeting minutes/notes]:** Does the inspector have an orderly file of all communications with the design professionals, contractors, DSA representatives and other persons involved in the project?
8. **Deviation notices, as delivered to architect & contractor; log listing all notices with resolution status:** Does the job file contain copies of all deviation notices issued by project inspector? Is there a log of these notices including the date of issuance and indication of delivery to architect and contractor? Does the log indicate resolution status for each deviation notice issued?
9. **Evidence of continuous inspection, such as inspector daily reports:** Does the file contain project inspector's daily inspection reports or any other regular inspection records?
10. **Material testing & special inspection reports:** Does the job file contain copies in the file of all material testing and special inspection reports conducted or required? Has the inspector identified, and is the inspector tracking those reports that indicate non-compliance?
11. **Completed semimonthly reports:** Does the file contain project inspector's semi-monthly reports made on the 1<sup>st</sup> and 16<sup>th</sup> of every month? The reports shall contain the following:
  - the name of the: school district, school site, building (if applicable);
  - DSA file and application number;
  - list of official visitors to the project and whom they represent;
  - a brief statement of the work done during the period preceding the report;
  - instructions received from the architect or registered engineer during the period covered by the report;
  - pertinent information regarding any unusual conditions or questions that may have arisen at the job;
  - description of problems or non-complying conditions which have occurred on the project and how they were resolved or brought into compliance.
12. **DSA trip notes from prior visits, copied to architect:** Does the job file contain copies of DSA Field Engineer trip notes? Is there evidence that these trip notes have been distributed to the architect for action?
13. **Building Codes and referenced standards:** Is a copy of Title 24 and referenced standards, as needed for inspection, available in the project inspector workspace?